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ABSTRACT

An important component of staff development is performance appraisal or evaluation, for development must be appraised, and appraisal makes development measurable. Professional development of college and university administrators should be evaluated within the context of the institutional framework by an upward, downward, and parallel evaluation process. The major impact would be to assist administrators in developing professional and personal talents and skills, which in turn benefits the institution. Experts disagree on the exact skills necessary for effective leadership in higher education and have developed various lists of qualities, behaviors, results, methods, and character traits of effective leadership. Implementation of a performance appraisal system must involve several steps: establishing performance goals, collecting data, choosing an evaluator, selecting the proper time, analyzing and reviewing the data, providing for an appeal process, and reestablishing performance goals. The Evaluation Seminar, a model for staff evaluation, has shown great potential for overcoming some difficult aspects of implementing an effective program. Use of an outside facilitator eliminates confrontive aspects of evaluation and induces staff to be more candid and objective in self appraisals and co-worker evaluation. The model stresses parallel and upward evaluation to offer greater dimension and more perspectives to the performance review process. (YLB)

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"PERFORMANCE APPRAISAL AND STAFF
DEVELOPMENT IN EDUCATIONAL ADMINISTRATION"

REMARKS PRESENTED AT
THE COLLEGE BOARD MIDWESTERN REGIONAL MEETING
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I. INTRODUCTION AND RATIONALE

THE TURBULENT ENVIRONMENT SURROUNDING HIGHER EDUCATION TODAY HAS DICTATED THE NEED FOR A MORE PROFESSIONAL APPROACH TO THE MANAGEMENT OF COLLEGES AND UNIVERSITIES. THE GROWING DEMANDS UPON US TO MAXIMIZE OUR RESOURCES HAS BEEN ACCOMPANIED BY AN INCREASED AWARENESS OF THE "LABOR INTENSIVE" NATURE OF OUR INDUSTRY. SUCH TERMS AS "STAFF DEVELOPMENT" HAVE BECOME INTEGRAL COMPONENTS OF INSTITUTIONAL MANAGEMENT PLANS, SO IMPORTANT BECAUSE THEY ADDRESS THE ISSUE OF ACCOUNTABILITY AND THE CONTINUAL EXAMINATION OF THE PURPOSES AND BENEFITS OF HIGHER EDUCATION TO SOCIETY AT LARGE.

AN IMPORTANT COMPONENT OF STAFF DEVELOPMENT IS PERFORMANCE APPRAISAL OR EVALUATION FOR IT IS DEVELOPMENT WHICH MUST BE APPRAISED AND IT IS APPRAISAL WHICH MAKES DEVELOPMENT MEASURABLE.

EVALUATION DEFINED. PERSONNEL EVALUATION MAY BE DEFINED AS "A PROCESS OF REVIEW TO ASSESS INDIVIDUAL PERFORMANCE AND TO MAKE A VALUE JUDGMENT CONCERNING THIS ASSESSMENT FOR THE BENEFIT OF BOTH THE INDIVIDUAL AND THE ORGANIZATION." (FISHER, 1977, P. 4). THE IMPLICATION IS CLEAR -- INDIVIDUAL PERFORMANCE MUST BE COMPARED WITH THE GOALS AND STANDARDS ESTABLISHED BY THE INSTITUTIONS SERVED. EFFECTIVE PRODUCTIVE EFFORTS BY STAFF MEMBERS MUST BENEFIT THEIR INSTITUTION.

INSTITUTIONAL VERSUS INDIVIDUAL EVALUATION. RICHARDSON (1975) HAS UNDERLINED THE IMPORTANCE OF VIEWING PROFESSIONAL DEVELOPMENT NOT AS IT EXISTS ALONE BUT WITHIN THE CONTEXT OF THE INSTITUTIONAL FRAMEWORK. HE ARGUES THAT A PROGRAM OF ORGANIZATIONAL DEVELOPMENT IS NEEDED TO UNDERSTAND STAFF DEVELOPMENT ACCORDING TO SIX STAGES OF DEFINING AND RESPONDING TO STAFF NEEDS:

1) INDIVIDUAL DEVELOPMENT THEORY, 2) INDIVIDUAL DEVELOPMENT APPLICATIONS, 3) STUDY AND REVISION OF INSTITUTIONAL STRUCTURE, 4) ESTABLISHING INSTITUTIONAL GOALS AND PRIORITIES, 5) ATTAINMENT OF INSTITUTIONAL GOALS, AND 6) EVALUATION AND MAINTENANCE. RICHARDSON AND OTHERS BELIEVE THAT THE ABILITY OF AN ORGANIZATION TO GROW AND CHANGE IS TIGHTLY INTERWOVEN INTO THE DEVELOPMENT OF ITS ADMINISTRATORS.

UPWARD, DOWNWARD AND PARALLEL EVALUATION. THERE IS A TENDENCY TO THINK OF ADMINISTRATIVE EVALUATION AS A DOWNWARD PROCESS WITH EMPLOYEES BEING EVALUATED BY THEIR IMMEDIATE SUPERVISORS. THIS PICTURE FALLS SHORT OF DESCRIBING AN IDEAL APPRAISAL SYSTEM ON TWO ACCOUNTS: 1) IT LEAVES NO ONE AT THE TOP TO EVALUATE THE CHIEF ADMINISTRATIVE OFFICER OF THE INSTITUTION AND 2) IT FAILS TO DEVELOP A MULTIDIMENSIONAL PERSPECTIVE NECESSARY FOR A COMPLETE ASSESSMENT OF ADMINISTRATIVE PERFORMANCE. A PROGRAM UTILIZING JUST DOWNWARD EVALUATION COULD EASILY LEAD TO A ONE-WAY PERFORMANCE PICTURE WITH EACH PERSON ON THE ORGANIZATION LADDER FEELING RESPONSIBLE ONLY TO THE PERSON ABOVE.

THE PROCESSES OF UPWARD AND PARALLEL EVALUATIONS ARE NOT NEW TO COLLEGE FACULTY WHO HAVE LONG USED THE FEEDBACK OF STUDENTS UPWARD EVALUATION AND COLLEAGUES PARALLEL APPRAISAL TO IMPROVE THEIR TEACHING. PROFESSORS WHO ASCENDED TO DEPARTMENTAL CHAIRS OR DEANSHIPS FOUND IT RELATIVELY EASY TO REQUEST THE ASSESSMENTS OF FACULTY COLLEAGUES. NOW OTHER UNIVERSITY ADMINISTRATORS HAVE RECOGNIZED AND ACCEPTED THE VALUE OF SUCH METHODS OF APPRAISAL AND ARE BEGINNING TO USE THEM TO EVALUATE THEIR STAFF MEMBERS AND THEMSELVES.

WHY IS PERFORMANCE APPRAISAL IMPORTANT TO STAFF DEVELOPMENT? SEVERAL WORDS COME TO MIND WHEN ONE TRIES TO JUSTIFY

PERFORMANCE APPRAISAL: COMPETENCY, GROWTH, MOTIVATION, REWARD, TEAMWORK, PROMOTION, TRAINING AND ACCOUNTABILITY ARE EXAMPLES. WE USE THEM ALL THE TIME, AND IT IS NOT DIFFICULT TO PERCEIVE THE WAYS IN WHICH EVALUATION IS CRITICAL TO THE APPLICATION OF THESE CONCEPTS TO THE ADMINISTRATIVE ROLE. AN ESSENTIAL NEED OF PROFESSIONAL ADMINISTRATORS IS MEANINGFUL FEEDBACK WHICH CAN REINFORCE DESIRED BEHAVIOR AND REDUCE ANXIETIES WHICH MAY HINDER THEIR ABILITY TO PERFORM CAPABLY.

FISHER (1977) HAS SYNTHESIZED THE WRITING OF SEVERAL OTHERS IN IDENTIFYING THE MOST RECOGNIZED REASONS FOR EVALUATING ADMINISTRATORS:

- 1) IDENTIFY NEEDED AREAS OF DEVELOPMENT. THROUGH MEANINGFUL FEEDBACK, AREAS OF DEFICIENCIES CAN BE ISOLATED AND EXAMINED SO THAT THEY MIGHT BE ALERTED.
- 2) IMPROVE ADMINISTRATIVE PERFORMANCE. ASSUMING THAT EVEN THE BEST MANAGERS CAN CONTRIBUTE TO THEIR GROWTH TOWARD IDEAL BEHAVIOR, A STRUCTURED EVALUATION PROGRAM SHOULD BENEFIT ALL TO A GREATER DEGREE.
- 3) ALIGN INDIVIDUAL PERFORMANCE MORE CLOSELY WITH INSTITUTIONAL GOALS. OCCASIONALLY, EMPLOYEES WILL BE UNCLEAR ON THE MISSION OF THEIR INSTITUTION. A PERIODIC AUDIT OF INDIVIDUAL PERFORMANCE AS IT RELATES TO THE MISSION STATEMENT WILL INSURE A MORE EFFICIENT ORGANIZATION.
- 4) IMPROVE INTERNAL COMMUNICATIONS AND OVERALL INSTITUTIONAL MANAGEMENT. BARRIERS AGAINST EFFECTIVE TEAMWORK WITHIN THE ORGANIZATION CAN BE MINIMIZED BY MORE AND BETTER COMMUNICATION REQUIRED BY A SUCCESSFULLY FUNCTIONING EVALUATION PROGRAM.
- 5) REWARD OUTSTANDING PERFORMANCE. ONE OF THE BEST METHODS

OF POSITIVELY REINFORCING DESIRED BEHAVIOR IS THROUGH RECOGNITION WHICH CAN TAKE MANY FORMS (MONETARY REMUNERATION, PUBLICITY, ETC.).

- 6) ANSWER INTERNAL AND EXTERNAL DEMANDS FOR ACCOUNTABILITY. THE MANY PUBLICS SERVED BY ADMINISTRATORS (ALUMNI, PARENTS, STUDENTS, FACULTY, ETC.) ARE MOST SENSITIVE TO AND AWARE OF THEIR RIGHTS. A WELL-DEVELOPED SYSTEM FOR ASSESSING PERFORMANCE COULD IMPROVE THE CREDIBILITY OF THE ADMINISTRATIVE OPERATION.
- 7) VALIDATE SELECTION AND RETENTION OF PERSONNEL AND SALARY AND PROMOTION PROCESSES. IN AN ERA OF INCREASING LITIGATION, STAFF EVALUATION IS MORE IMPORTANT AND NECESSARY THAN EVER. THEREFORE, ADMINISTRATORS SHOULD UNDERTAKE THE EVALUATIONS WITH CARE AND JUDGMENT.
- 8) INVENTORY PERSONNEL COMPETENCIES FOR RETRAINING AND POSSIBLE REASSIGNMENT. IT IS RARELY DESIRABLE FOR ANYONE TO REMAIN PERMANENTLY IN A POSITION GIVEN THE CONTINUALLY CHANGING SOCIETY OUR COLLEGES AND UNIVERSITIES ARE ATTEMPTING TO SERVE.

WEXLEY AND YUKL (1977) EMPHASIZE THAT THE RELATIONSHIP BETWEEN INDIVIDUAL AND INSTITUTIONAL DEVELOPMENT IS A RESULT OF A SMOOTHLY FUNCTIONING APPRAISAL SYSTEM. THEY CONTEND THAT SUCH A SYSTEM WILL ENABLE THE ORGANIZATION TO MEASURE ITS OVERALL PROFICIENCY AND THE EFFECTIVENESS OF ITS SELECTION AND TRAINING PROCEDURES. CLEARLY, THE IMPLICATION IS THAT THE MAXIMUM USE OF HUMAN RESOURCES REQUIRES PERFORMANCE APPRAISAL AS AN ESSENTIAL ELEMENT.

FENKER (1975) HAS WRITTEN OF THE NEEDS OF ONE INSTITUTION TO DEFINE AND REWARD EXCELLENCE AND TO REDUCE OR ELIMINATE THE

ARBITRARY QUALITIES OF ITS EVALUATION OF STAFF PERFORMANCE.

THE FOLLOWING GOALS WERE ESTABLISHED:

1. "TO IMPROVE THE OVERALL QUALITY OF THE UNIVERSITY BY PROVIDING AN OBJECTIVE MEANS FOR EVALUATING ITS PERSONNEL, SUGGESTING IMPROVEMENTS OR CHANGES, AND DISTRIBUTING REWARDS ON THE BASIS OF A SUFFICIENTLY COMPLEX DEFINITION OF EXCELLENCE.
 2. TO ACKNOWLEDGE THE IMPORTANCE OF EXCELLENT TEACHING AND TO IMPLEMENT THIS CONVICTION IN THE UNIVERSITY'S REWARD STRUCTURE.
 3. TO REDUCE THE ARBITRARINESS OF DECISION-MAKING PROCESSES ASSOCIATED WITH TENURE, PROMOTIONS, AND RAISES BY MAKING REWARD STRUCTURE MORE EXPLICIT.
 4. TO RECOGNIZE THE DIVERSITY OF BEHAVIORS THAT CONSTITUTE 'EXCELLENCE' FOR A FACULTY MEMBER OR ADMINISTRATOR AND TO ESTABLISH CRITERIA FOR EVALUATING THESE BEHAVIORS."
- (p. 666)

POTENTIAL PITFALLS AND BARRIERS TO EFFECTIVE EVALUATION. I

TRUST THAT IT IS NOW OBVIOUS THAT THERE IS MUCH TO GAIN FROM THE DEVELOPMENT OF AN ADMINISTRATIVE EVALUATION SYSTEM. BUT -- IS THERE ANYTHING TO LOSE? CAN THE IMPLEMENTATION OF SUCH A PROCESS MOVE THE ORGANIZATION AND ITS STAFF ONTO THIN ICE?

LAHTI (1978) CAUTIONS US TO BEWARE THE DANGERS INHERENT WHEN ANY PERSON ATTEMPTS TO APPRAISE THE WORK OF OTHER HUMANS. SUBJECTIVE JUDGMENTS, PERSONAL BIASES, ARBITRARY STANDARDS AND INTER-RATER DISCREPANCY ARE A FEW OF THE HAZARDS OF THE PROCESS. UNSKILLED EVALUATORS PROVIDING NEGATIVE FEEDBACK DERIVED FROM UNCLEAR CRITERIA CAUSE ONE TO SHUDDER AT THE POTENTIAL FOR DESTROYING STAFF MORALE. SUPERVISORS WHO ARE IMPATIENT WITH THE TIME-CONSUMING

ELEMENTS OF THE PROCESS OR UNWILLING TO CONFRONT INDIVIDUALS WHOSE PERFORMANCE FALLS "SHORT" OF ESTABLISHED STANDARDS OR WHO SEE THEMSELVES AS A "JUDGE" RATHER THAN AS A "COUNSELOR" CAN SERIOUSLY IMPEDE THE EFFECTIVENESS OF SUCH AN ESSENTIAL PROCESS.

LIKE ANY FORMALLY ORGANIZED SYSTEM, PERFORMANCE APPRAISAL COULD BECOME TOO STRUCTURED. THERE IS ALSO THE RISK THAT THE EVALUATION PROCESS COULD BECOME MORE IMPORTANT THAN THE PERFORMANCE ITSELF. DESPITE ALL THESE POSSIBLE NEGATIVE EFFECTS, THIS AUTHOR FIRMLY BELIEVES THAT THE PROBLEMS ARE AVOIDABLE AND THAT THE BENEFITS OF A WELL CONCEIVED ADMINISTRATIVE EVALUATION SYSTEM ARE MANY AND HIGHLY USEFUL. THE REMAINDER OF THIS ADDRESS WILL DISCUSS THE CHARACTERISTICS OF WHAT THE WRITER BELIEVES TO BE AN IDEAL SYSTEM OF PERFORMANCE APPRAISAL AND APPLY THESE CHARACTERISTICS TO A MODEL WHICH HE HAS DEVELOPED FOR THE PURPOSE OF ASSISTING COLLEGES AND ADMINISTRATIONS TO GROW AND PROSPER.

II. WHAT DO YOU MEASURE?

WEXLEY AND YUHL (1977) HAVE IDENTIFIED THREE MAJOR WAYS OF VIEWING EMPLOYEE PROFICIENCY: 1) BEHAVIORS EXPRESSED IN PERFORMING THE JOB, 2) TANGIBLE RESULTS, AND 3) CHARACTER TRAITS. THEY QUESTION THE USEFULNESS OF RATING CHARACTER TRAITS IN MOTIVATING EMPLOYEES TO IMPROVE PERFORMANCE. "HOW DOES ONE IMPROVE MORAL COURAGE?" (P. 223). PORTER, LAWLER AND HACHMAN (1975) DISCOVERED THAT EVALUATING BEHAVIOR AND OUTCOMES IS THE PREFERRED METHOD BECAUSE IT RECOGNIZES THE RELATIONSHIP BETWEEN THE TWO AND IT ASSISTS THE WORKER IN IMPROVING IN BOTH AREAS AT THE SAME TIME.

ONE OF THE MORE INTERESTING WORKS ON THE TOPIC OF ADMINISTRATIVE EVALUATION WAS PRODUCED BY HILLWAY (1973) WHO DEVELOPED A LIST OF FIFTEEN QUALITIES AND NINE METHODS OF EFFECTIVE LEADERSHIP WHICH COULD SERVE AS A GUIDE FOR PERFORMANCE APPRAISAL. THESE ARE:

QUALITIES	METHODS
INTEREST IN THE PROGRESS OF EDUCATION	ENCOURAGES DEMOCRATIC PARTICIPATION
EDUCATIONAL AND CULTURAL BACKGROUND	COMMUNICATES EFFECTIVELY WITH GROUPS
SYMPATHETIC ATTITUDE TOWARD STUDENTS	PRESENTS APPROPRIATE MATERIALS FOR GROUP ACTION
CONSIDERATE ATTITUDE TOWARD FACULTY	ADHERES FAITHFULLY TO GROUP DECISIONS
FAIRNESS IN DEALING WITH STUDENTS	RESPECTS PROFESSIONAL RIGHTS OF FACULTY
FAIRNESS IN DEALING WITH FACULTY	ASSIGNS WORK FAIRLY AND SUITABLY
SELF-ADJUSTMENT AND SENSE OF HUMOR	MAKES FAIR DECISIONS ON PROMOTIONS AND SALARY
TOLERANCE OF NEW IDEAS	MAKES CONTRIBUTIONS TO HIS ACADEMIC FIELD
TRUSTWORTHINESS (HONESTY, RELIABILITY)	USUALLY GENERALLY APPROPRIATE ADMINISTRATIVE METHODS
SKILL IN SECURING GROUP ACTION	OVERALL RATING OF ADMINISTRATOR
ABILITY TO INSPIRE CONFIDENCE	
ABILITY TO ORGANIZE	

(CONTINUED)

QUALITIES

ABILITY TO EVALUATE
FACULTY PERFORMANCE
ABILITY TO MAINTAIN
FACULTY MORALE
APPEARANCE (APPROPRIATE
DRESS, GROOMING)

GINZBURG (1976) HAS IDENTIFIED TEN CATEGORIES ON WHICH TO BASE AN EXECUTIVE EVALUATION: INTELLIGENCE, AND BREADTH OF UNDERSTANDING, INDIVIDUAL CONFIDENCE AND SELF-KNOWLEDGE, INSTINCTUAL FORTITUDE, INTEGRITY, INTERPERSONAL RELATIONS, INNOVATION AND CREATIVITY, HIGH ENERGY LEVEL, ORGANIZATION LOYALTY, FOLLOW-THROUGH, AND CHARISMA (THE ABILITY TO INSPIRE).

HENEMAN AND SCHWAB (1978) LISTED THE FOLLOWING TRAITS TO BE USED DURING THE SELECTION OF MANAGERS: "LEADERSHIP, ORGANIZING AND PLANNING, DECISION-MAKING, ORAL AND WRITTEN COMMUNICATION SKILLS, INITIATIVE, ENERGY, ANALYTICAL ABILITY, RESISTANCE TO STRESS, USE OF DELEGATION, BEHAVIOR FLEXIBILITY, HUMAN RELATIONS COMPETENCE, ORIGINATING, CONTROLLING, SELF-DIRECTION AND OVERALL POTENTIAL." (PP. 164-5) IF SUCH FACTORS ARE USED IN SELECTION OF PERSONNEL, IT SEEMS NATURAL TO ASSUME THAT THEY COULD (AND SHOULD) BE USED IN SUBSEQUENT APPRAISALS OF THOSE WHO ARE SELECTED.

PERFORMANCE GOALS. EHRLE (1975) PROVIDES A MOST COMPREHENSIVE LISTING OF CLEARLY IDENTIFIED POSITIVE QUALITIES (USED FOR EVALUATING ACADEMIC DEANS):

COMMUNICATION: USES CLEAR, DECISIVE, SENSITIVE, TIMELY AND RESPONSIVE MANNER, SUFFICIENT.

DECISION-MAKING: GATHERS PERTINENT FACTS, CONSULTS OTHERS, MAKES SOUND AND TIMELY DECISIONS, APPLIES POLICY CONSISTENTLY AND FAIRLY.

OPERATION AND DELEGATION OF RESPONSIBILITY: INITIATES AND SUSTAINS ACTION TOWARD DEFINED GOALS,

ASSIGNS DUTIES SO AS TO MAXIMIZE CAPABILITIES OF INDIVIDUALS, ENCOURAGES INITIATIVE AND PERFORMANCE BY DELEGATING RESPONSIBILITY EFFECTIVELY,

HUMAN AND PUBLIC RELATIONS: ESTABLISHES RAPPORT EASILY AND IS APPROACHABLE FOR CONSULTATION, RESOLVES HUMAN CONFLICTS, GIVES APPROPRIATE CREDIT TO OTHERS, DOES NOT DISCRIMINATE ON THE BASIS OF RACE OR SEX, JUDGES PEOPLE PERCEPTABLY AND FAIRLY, WORKS WELL WITH COMMITTEES, IS RECEPTIVE TO CONSTRUCTIVE SUGGESTIONS FOR CHANGE,

PROBLEM SOLVING: IS ALERTED TO POTENTIAL PROBLEMS, PLANS AHEAD, MAKES TIME FOR PLANNING, CALLS MEETING AT APPROPRIATE INTERVALS,

KNOWING WHAT TO MEASURE IS A FIRST STEP IN APPROACHING THE DESIGN OF AN IDEAL PERFORMANCE APPRAISAL SYSTEM AND THE WAY THE SYSTEM SHOULD BE IMPLEMENTED.

III. HOW SHOULD PERFORMANCE APPRAISAL BE IMPLEMENTED?

MILLER (1975) MAKES THE FOLLOWING POINTS REGARDING THE STRATEGY TO BE USED IN IMPLEMENTING AN EVALUATION SYSTEM: 1) THE PROCESS IS MORE IMPORTANT THAN THE PRODUCT (OR, HOW YOU GIVE THE MEDICINE IS MORE IMPORTANT THAN WHAT YOU GIVE; 2) WILLINGNESS TO CHANGE IS INVERSELY PROPORTIONAL TO PROXIMITY. THAT IS, IN ORDER TO OVERCOME RESISTANCE TO CHANGE, ONE MUST APPEAL TO THE PROFESSIONALISM, SELF-INTEREST AND PRIDE OF THE PARTICIPANTS; 3) IMPLEMENTERS MUST EXPECT OPPOSITION, BE PREPARED, AND KNOW THEIR ENEMY'S STRENGTHS AND WEAKNESSES. ALSO, THEY MUST KNOW THEIR SUBJECT WELL ENOUGH TO PRESENT IT ON ANY LEVEL; 4) THEIR STRATEGY MUST REMAIN FLEXIBLE AND LOW-KEY. THEY SHOULD MAINTAIN A LOW PROFILE IN MATTERS OF METHODOLOGY AND KEEP GOALS AS A TOP CONSIDERATION. (PP. 7-15)

BEFORE ANY PERFORMANCE APPRAISAL SYSTEM CAN BEGIN, IT MUST BE CAREFULLY EXPLAINED TO ALL PARTICIPANTS. PARTICIPANTS' RESISTANCE MUST BE CAREFULLY BROKEN DOWN AND DISPELLED OR THE CHANCES OF THE PROGRAM'S SURVIVAL WILL BE DOOMED FROM THE BEGINNING.

ESTABLISHING PERFORMANCE GOALS. THE PRINCIPLE REASONS FOR GOAL-SETTING ARE: "TO PROVIDE FEEDBACK TO EACH PERSON, TO PROVIDE THE SUPERVISOR WITH DATA ON WHICH TO MAKE PERSONNEL DECISIONS, TO SERVE AS A BASIS FOR OBSERVING, MODIFYING OR CHANGING BEHAVIOR IN ORDER TO IMPROVE PERFORMANCE, AND TO ENCOURAGE STAFF DEVELOPMENT" (LAHTI, 1978, P. 7). MUCH OF THE LITERATURE SPEAKS TO GOAL-SETTING AS CRITICAL TO ANY EVALUATION SYSTEM. GOAL-SETTING GIVES DIRECTION TO THE PROGRAM AND IT REMINDS BOTH SUPERVISOR AND EMPLOYEE OF THE IMPORTANCE OF TAKING A POSITIVE APPROACH TO THEIR WORK. DRESSSEL (1976) AND OTHERS HAVE STRESSED THE NEED FOR

ADMINISTRATORS TO HAVE INPUT INTO THEIR OWN EVALUATIONS. GOAL-SETTING PROVIDES FOR THIS CONDITION IN A MOST NATURAL MANNER.

COLLECTION OF DATA. THE METHODS EMPLOYED BY EACH INSTITUTION FOR COLLECTING ITS DATA VARY WITH THE PERSONALITY OF THE ORGANIZATION. NO TWO COLLEGES CAN OR SHOULD UTILIZE THE SAME METHODS. BERGQUIST AND TENBRINK (1978) SURVEYED APPROXIMATELY FOUR HUNDRED COLLEGES AND UNIVERSITIES TO DETERMINE THE MOST COMMON METHODS OF EVALUATING ADMINISTRATORS. THE ONE MOST OFTEN USED WAS THE "UNSTRUCTURED NARRATION" OR "ESSAY APPRAISAL" WHICH SIMPLY REQUIRES THE WRITING OF A PARAGRAPH DESCRIBING THE ACTIVITIES OF THE ADMINISTRATOR OVER A GIVEN PERIOD OF TIME. OTHER METHODS WERE: "UNSTRUCTURED DOCUMENTATION: (E.G., LETTERS OF RECOMMENDATION, DAILY LOGS); "STRUCTURED NARRATION" USING SHORT ANSWER QUESTIONNAIRES: "RATING SCALES" WHICH USUALLY FOCUS ON TRAITS; "STRUCTURED DOCUMENTATION" USING CATEGORIES OF BEHAVIOR AGREED TO IN ADVANCE; AND "MANAGEMENT BY OBJECTIVES" WHICH USES GOALS TO DIRECT BEHAVIOR AND IS PROBABLY THE BEST KNOWN USE OF GOAL-SETTING.

WHO SHOULD EVALUATE? ALTHOUGH THE MAJORITY OF MOST EVALUATION PROGRAMS ARE DOWNWARD IN NATURE, THERE ARE OTHER EFFECTIVE SOURCES OF PERFORMANCE APPRAISAL: 1) SELF-EVALUATION COULD BE BUILT INTO A SYSTEM AS ONE COMPONENT, 2) PROFESSIONAL PEERS CAN PROVIDE ANOTHER DIMENSION TO THE PROCESS, 3) SUBORDINATES POSSESS ANOTHER VIEW THAT COULD BE HELPFUL AND, 4) OUTSIDERS OFFER STILL ANOTHER PERSPECTIVE FROM WHICH TO APPRAISE PERFORMANCE. ALL FIVE OF THESE POSSIBLE PROCEDURES OFFER UNIQUE ADVANTAGES WHICH COULD BE COMBINED INTO A MULTIDIMENSIONAL APPROACH AND IS ONE OF TWO KEY ELEMENTS OF A MODEL WHICH WILL BE DISCUSSED IN CHAPTER IV.

WHEN SHOULD EVALUATION OCCUR? THIS QUESTION IS CRITICAL TO THE OVERALL SUCCESS OF AN EVALUATION SYSTEM. THE ANSWER IS

DEPENDENT UPON THE NATURE OF THE WORK CYCLE AND TYPE OF WORK PERFORMED. FOR EXAMPLE, FOR A COLLEGE ADMISSIONS OFFICE, PERFORMANCE REVIEW COULD OCCUR AT THE END OF THE ANNUAL CYCLE, IN MAY, OR IT MIGHT OCCUR MORE FREQUENTLY WITHIN THE CYCLE, ESPECIALLY AT TIMES WHEN INDIVIDUAL PERFORMANCE IS SIGNIFICANTLY ABOVE OR BELOW ESTABLISHED NORMS.

ANALYSIS AND REVIEW. ONCE THE DATA HAS BEEN GATHERED, THE SUPERVISOR AND ADMINISTRATOR SHOULD REVIEW AND DISCUSS THE RESULTS. EMPHASIS SHOULD BE PLACED ON REINFORCING POSITIVE BEHAVIOR FIRST BEFORE PROCEEDING INTO THE MORE SENSITIVE AREAS OF HUMAN WEAKNESSES. IF THE PROCESS HAS BEEN CAREFULLY CONCEIVED AND CARRIED OUT TO THIS POINT, THE ADMINISTRATOR WILL HAVE SOME IDEA OF THE FINDINGS BEFORE THEY ARE PRESENTED TO HIM/HER FOR REVIEW. NEVERTHELESS IT IS BEST TO PROCEED WITH UTMOST CAUTION IN ANY APPROACH TO CONSTRUCTIVE CRITICISM.

THE APPEAL PROCESS. EVEN THE MOST SENSITIVELY AND CONSTRUCTIVELY CONDUCTED EVALUATION PROCESS CAN PRODUCE A LESS THAN POSITIVE REACTION. IN SUCH CASES, THIS CAN BECOME A PRODUCTIVE EXERCISE BECAUSE IT WILL ENABLE THE SKILLED SUPERVISOR TO TURN SUCH A REACTION INTO A RENEWED INTEREST ON THE PART OF THE STAFF MEMBER IN THE NEXT EVALUATION CYCLE. HAVING AN APPEAL PROCESS IS ALSO WORTHWHILE SINCE IT WILL SOFTEN THE DEFENSES OF ADMINISTRATORS WHO ARE RELUCTANT TO ENTER THE EVALUATION SYSTEM AT ITS INCEPTION.

REESTABLISHMENT OF PERFORMANCE GOALS. THE FINAL PHASE OF THE FIRST EVALUATION CYCLE IS THE BEGINNING OF THE NEXT. THE SUPERVISOR AND THE EMPLOYEE EVALUATE PREVIOUS GOALS AND MODIFY THEM FOR THE FUTURE. IT IS NOT LIKELY OR EVEN DESIRABLE THAT THE GOALS REMAIN THE SAME. THE EVALUATION PROCESS CAN ONLY BE IMPROVED BY CONSCIOUSLY ATTEMPTING TO RAISE THE PERFORMANCE CRITERIA IN EACH

SUCCESSIVE TIME FRAME.

LAHTI (1978) HAS SUMMARIZED THE CONDITIONS IN WHICH A PERFORMANCE APPRAISAL SYSTEM HAS THE BEST CHANCE OF SUCCESS:

1. SUBORDINATES KNOW IN ADVANCE HOW THEY WILL BE JUDGED.
2. THE SUPERVISOR AND SUBORDINATE AGREE ON THE CONTENT AND EXPECTATIONS OF THE SUBORDINATE'S JOB.
3. THE PROCESS IS BASED UPON A SUPERVISOR-SUBORDINATE RELATIONSHIP AND SHOULD STRENGTHEN THIS RELATIONSHIP.
4. THE PROCESS HAS A SELF-CORRECTING, PERSONAL GROWTH CHARACTERISTIC THAT HELPS PEOPLE SET GOALS THAT ARE CHALLENGING AND ATTAINABLE.
5. THE PROCESS PROVIDES A METHOD OF DISCOVERING INDIVIDUAL DEVELOPMENT NEEDS, THUS SETTING THE STAGE FOR A TOTAL MANAGERIAL DEVELOPMENT PROGRAM WITHIN THE ORGANIZATION.
6. THE PERFORMANCE APPRAISAL SYSTEM HIGHLIGHTS A TOTAL MANAGERIAL APPROACH WHICH ALLOWS THE INDIVIDUAL MANAGER TO BETTER UNDERSTAND HIS INDIVIDUAL CONTRIBUTION TO MEETING INSTITUTIONAL GOALS. THIS PROGRAM ASKS THE SUPERVISOR TO LOOK AT THE MANAGER'S RECORD OF SUCCESS RATHER THAN AT HIS OR HER PERSONALITY TRAITS. (P. 8)

IV. A MODEL FOR EFFECTIVE PERFORMANCE APPRAISAL.

THROUGHOUT MY CAREER AS A COLLEGE ADMINISTRATOR CONVERSATIONS WITH MANY OF MY COLLEAGUES HELPED ME TO UNDERSTAND THAT I WAS NOT ALONE IN MY DISSATISFACTION RELATED TO EFFECTIVE EVALUATION OF MY ADMISSION STAFF. HAVING STUDIED THE LITERATURE RELATED TO PERFORMANCE APPRAISAL, I FELT REASONABLY WELL-INFORMED ON THE TOPIC. YET IT WAS THOSE "PITFALLS" MENTIONED EARLIER WHICH SEEMED TO INTERFERE WITH MY OWN ABILITY TO PROVIDE MY UNDERLINGS WITH A MORE EFFECTIVE STAFF DEVELOPMENT PROGRAM BASED ON A COMMITMENT TO PERSONNEL EVALUATION.

ONE OF MY COLLEGES, PAUL LANE, DIRECTOR OF ADMISSIONS AND FINANCIAL AID AT KALAMAZOO COLLEGE, WAS EXPERIENCING THE SAME FRUSTRATIONS. HEARING MY COMPLAINTS, HE SUGGESTED THAT WE WORK TOGETHER IN DEVELOPING A MODEL EVALUATION SYSTEM UTILIZING HIS OWN STAFF AT KALAMAZOO AS SUBJECTS IN THE EXPERIMENT. TO DATE THE MODEL HAS BEEN TESTED AT KALAMAZOO COLLEGE TWICE AND, JUST RECENTLY, WITH JACK PIROZZI'S VERY COOPERATIVE ADMISSIONS STAFF AT HIRAM COLLEGE.

THE MODEL CALLED THE STAFF EVALUATION SEMINAR INCORPORATES A FEW BASIC ASSUMPTIONS. THESE ARE: 1) RESULTS OF THE PROCESS WILL BE USED PRIMARILY FOR PERSONAL GROWTH AND ENRICHMENT AND NOT TO ASSIST SUPERVISORS IN MAKING PROMOTION AND SALARY DECISIONS. ALTHOUGH SOME OBVIOUS BENEFITS WILL ACCURE TO THE COLLEGE AS A RESULT OF STAFF DEVELOPMENT, THESE BENEFITS WILL NOT BE THE PRIME FOCUS. FEEDBACK WILL BE PERSONAL AND CONFIDENTIAL, 2) ALL MEMBERS OF THE STAFF WILL BE TREATED AS EQUALS. NO SPECIAL PRIVILEGES WILL BE AFFORDED THE SUPERVISORS, 3) THE BASIC COMPONENTS OF EFFECTIVE PERFORMANCE WILL BE UNDERSTOOD AND AGREED UPON IN ADVANCE BY ALL STAFF MEMBERS, 4) THE PRIMARY PURPOSE OF THE STAFF EVALUATION

SEMINAR WILL BE TO MOTIVATE BY REINFORCING POSITIVE BEHAVIOR RATHER THAN BY BREAKING DOWN NEGATIVE PERFORMANCE. THE APPROACH OF THE STAFF EVALUATION SEMINAR, THEREFORE, IS A POSITIVE ONE.

KEY ELEMENTS OF THE SEMINAR MODEL. THERE ARE TWO FEATURES OF THE MODEL THAT DESERVE SPECIAL MENTION: 1) ITS RELIANCE ON PEER AND SUBORDINATE EVALUATION IN COMBINATION WITH SELF AND SUPERVISOR EVALUATION TO PROVIDE A MULTIPLE PERSPECTIVE AND 2) THE USE OF AN OUTSIDE FACILITATOR TO COLLECT DATA VIA INTERVIEWS AND PROVIDE FEEDBACK FROM AN UNINVOLVED PERSON.

THIS "CROSS-APPRAISAL SYSTEM" ALLOWS EACH INDIVIDUAL TO COMPARE HIS/HER OWN EVALUATION WITH THOSE OF PEERS, SUPERVISORS, AND SUBORDINATES. THERE ARE TWO MAJOR ADVANTAGES OF THIS FEATURE: 1) IT ALLOWS THE STAFF MEMBER TO GAIN AND MAINTAIN REALISTIC APPRAISAL ALIGNMENT WITH THE JUDGMENT OF THE STAFF AND 2) IT ACHIEVES A MORE WELL-ROUNDED APPRAISAL THAN IS NORMALLY POSSIBLE WHEN JUST ONE PERSON (USUALLY THE SUPERVISOR) IS DOING THE EVALUATION.

USING AN OUTSIDE FACILITATOR ALSO BRINGS MORE ADVANTAGES TO THE MODEL: 1) GREATER OBJECTIVITY IS POTENTIALLY MORE ATTAINABLE BY SOMEONE WHO IS NOT INVOLVED WITH THE DAILY WORKINGS OF THE STAFF, 2) STAFF MEMBERS CAN FEEL MORE RELAXED, LESS THREATENED AND, CONSEQUENTLY, MORE OPEN AND HONEST WITH THE FACILITATOR AND 3) A SKILLFUL PERSON CAN SYNTHESIZE THIS INFORMATION, WEED OUT THE IRRELEVANT DATA (E.G., "NIT PICKING") AND PACKAGE THE FEEDBACK IN A MANNER THAT MEETS THE OBJECTIVES OF THE SEMINAR.

OUTLINE OF PROCEDURES. A TYPICAL ONE-DAY SEMINAR MIGHT LOOK LIKE THIS:

8:00	9:00	BREAKFAST MEETING WITH STAFF, ORIENTATION, OUTLINE OF DAY'S ACTIVITIES, GOALS AND OBJECTIVES, TRUST BUILDING.
9:00	12:00	DATA GATHERING. INDIVIDUAL STAFF, SELF-, PEER-, SUPERVISOR- AND SUBORDINATE-EVALUATIONS, SPECIAL CONCERNS.
12:00	1:00	DATA ANALYSIS. PREPARATION OF INDIVIDUAL FEEDBACK.
1:00	4:00	FEEDBACK. INDIVIDUAL EXPLANATION OF STAFF RATINGS, COMPARISON WITH SELF APPRAISAL, SUGGESTIONS FOR IMPROVEMENT.
4:00	5:00	GROUP DISCUSSION. WHAT HAVE WE ACCOMPLISHED? WHERE DO WE GO FROM HERE?

* NOTETAKING DURING THE MORNING INTERVIEWS WOULD LOOK LIKE THE SAMPLE FOUND IN THE APPENDIX OF THIS PAPER.

AT THE END OF THIS EXHAUSTIVE DAY, THE FACILITATOR SHOULD HAVE ACCOMPLISHED THE FOLLOWING OBJECTIVES: 1) PROVIDE MEANINGFUL FEEDBACK REGARDING INDIVIDUAL PERFORMANCE TO EACH STAFF MEMBER, 2) PROMOTE GROUP SOLIDARITY HEIGHTENING EACH MEMBER'S AWARENESS OF THE GROUP AS A WORKING UNIT AND THE ROLE EACH INDIVIDUAL PLAYS WITHIN THAT UNIT, 3) MOTIVATE EACH MEMBER TO IMPROVE HIS/HER PERFORMANCE BASED ON AN HONEST, CANDID, COMPREHENSIVE APPRAISAL OF HIS/HER STRENGTHS AND WEAKNESSES.

HOW MUCH DOES IT COST? ANOTHER ADVANTAGE OF THE EVALUATION SEMINAR CONCEPT IS THAT IT CAN BE RELATIVELY INEXPENSIVE TO IMPLEMENT. NATURALLY, THE FACILITATOR IS THE KEY. IT MIGHT BE POSSIBLE TO TAKE ADVANTAGE OF SOMEONE WITHIN THE ORGANIZATION (E.G., THE PLACEMENT DIRECTOR, COUNSELING PSYCHOLOGIST OR A MEMBER OF THE FACULTY). IDEALLY, SOMEONE RELATIVELY UNKNOWN, FROM OUTSIDE THE INSTITUTION, OFFERS THE MOST POTENTIAL FOR PROVIDING A NON-THREATENING ATMOSPHERE. BUT THIS ADVANTAGE MUST BE WEIGHED AGAINST THE

POTENTIAL COST INVOLVED.

THE FACILITATOR IS CRITICAL TO THE SUCCESS OF THIS MODEL. THIS PERSON SHOULD HAVE A SIGNIFICANT UNDERSTANDING OF THE JOB RESPONSIBILITIES OF THE PARTICIPANTS, BE EXPERIENCED IN EDUCATIONAL ADMINISTRATION, AND HAVE ACQUIRED THE LISTENING AND FEEDBACK SKILLS NECESSARY TO A GOOD COUNSELOR. THE SUCCESS OR FAILURE OF THE DAY'S EXPERIENCE RESTS ON THE ABILITY OF THE FACILITATOR TO PERFORM HIS/HER ROLE COMPETENTLY.

FURTHER USE OF THE MODEL. AFTER ONE INITIAL PROGRAM AT KALAMAZOO, THE ENTHUSIASTIC STAFF SUGGESTED I RETURN FOR A FOLLOW UP SESSION IN A FEW MONTHS. THE FOLLOW UP SESSION HAS OCCURRED AND IT WAS DETERMINED THROUGH ADDITIONAL INTERVIEWS THAT THE SUGGESTED IMPROVEMENTS HAVE BEGUN TO OCCUR. CHANGES IN HUMAN BEHAVIOR ARE NOT USUALLY NOTICEABLE FROM DAY TO DAY, BUT THE FACILITATOR OBSERVED SIGNIFICANT SHIFTS IN ATTITUDE AND PRODUCTIVITY AFTER A FEW MONTHS INTERLUDE.

V. SUMMARY AND CONCLUSIONS.

THIS PAPER HAS ATTEMPTED TO MAKE A CASE FOR A STRONG AND CONTINUING ADMINISTRATIVE EVALUATION SYSTEM IN COLLEGES AND UNIVERSITIES. THE MAJOR IMPACT OF SUCH A PROGRAM WOULD BE TO ASSIST ADMINISTRATIVE PERSONNEL IN DEVELOPING THEIR PROFESSIONAL AND PERSONAL TALENTS AND SKILLS. IT SHOULD FOLLOW THAT EACH INSTITUTION WOULD BENEFIT FROM THE IMPROVED PERFORMANCE OF ITS INDIVIDUAL STAFF MEMBERS. FISHER (1978) BELIEVES:

"THE ASSESSMENT OF PEOPLE AND INSTITUTIONS IN SOME WAY IS INEVITABLE. IT HAPPENS CONTINUOUSLY, WHETHER INFORMALLY OR FORMALLY, AND BECAUSE IT IS INESCAPABLE, IT DESERVES TO BE REASONABLE, EQUITABLE, AND CLEAR. WITHIN HIGHER EDUCATION, IT BEHOVES ADMINISTRATORS TO TAKE THE INITIATIVE IN HELPING TO SHAPE AND SYSTEMATIZE THE PROCESS..... THE DESIRE FOR SELF-IMPROVEMENT IS INHERENT TO THE NATURE OF HUMAN BEINGS, AND THERE IS NO VALID REASON WHY WE CANNOT FACILITATE THIS PROCESS AMONG ADMINISTRATIVE PERSONNEL AS WELL AS WE HAVE BEGUN TO DO AMONG FACULTY." (PP. 115-116)

A WELL DESIGNED STAFF EVALUATION PROGRAM INCLUDES: 1) GOALS AND PROCEDURES DEVELOPED AND AGREED TO IN ADVANCE, 2) A CLEAR UNDERSTANDING OF TERMS AND STANDARDS TO BE EMPLOYED IN MEASURING GROWTH AND DEVELOPMENT, 3) PERFORMANCE REVIEW CONDUCTED AT OPPORTUNE TIMES AND IN AN ATMOSPHERE OF CANDOR AND CONFIDENTIALITY, 4) AND ON-GOING REVIEW AND REESTABLISHMENT OF NEW GOALS SO THAT GROWTH WILL CONTINUE THROUGHOUT THE STAFF MEMBER'S TERM OF OFFICE.

ALTHOUGH THE DESIGN AND IMPLEMENTATION OF AN ADMINISTRATIVE EVALUATION SYSTEM WOULD BE DIFFICULT AND WOULD CREATE SOME NEW PROBLEMS IN THE INSTITUTION, ITS OVERALL BENEFITS WOULD FAR OUTWEIGH ITS COSTS. A WELL-CONCEIVED PROGRAM CAN IMPROVE THE CLIMATE OF THE WORK SETTING AND INCREASE THE CONTRIBUTIONS OF ALL PARTICIPANTS, WHETHER THEY SERVE AS EVALUATORS OR EVALUATEES OR BOTH.

NONE OF THE EXPERTS SEEM TO AGREE ON THE EXACT SKILLS NECESSARY FOR EFFECTIVE LEADERSHIP IN HIGHER EDUCATION; HOWEVER, THERE IS

INCREASING EVIDENCE IN THE LITERATURE CONFIRMING THAT ADMINISTRATORS ARE IMPORTANT RESOURCES WHOSE TALENTS AND SKILLS CAN AND SHOULD BE DEVELOPED TO THEIR GREATEST POTENTIAL.

A MODEL FOR STAFF EVALUATION HAS BEEN SHOWN TO POSSESS GREAT POTENTIAL FOR OVERCOMING SOME OF THE MORE DIFFICULT ASPECTS OF IMPLEMENTING AN EFFECTIVE PROGRAM. THE USE OF AN OUTSIDE FACILITATOR CAN ELIMINATE THE CONFRONTIVE ASPECTS OF EVALUATION AND INDUCE STAFF TO BE MORE CANDID AND OBJECTIVE IN THEIR SELF APPRAISALS AND THEIR EVALUATIONS OF CO-WORKERS. IN ADDITION, THE MODEL STRESSES PARALLEL AND UPWARD EVALUATION AS A MEANS OF OFFERING GREATER DIMENSION AND MORE PERSPECTIVES TO THE PERFORMANCE REVIEW PROCESS.

IN THE "LABOR INTENSIVE" ENVIRONMENT OF A COLLEGE, THE DEVELOPMENT OF PEOPLE -- AS STUDENTS, AS TEACHERS, AS ADMINISTRATORS -- MUST BE GIVEN THE HIGHEST PRIORITY. "EVALUATION IS ONE WAY OF IMPROVING THE QUALITY OF THIS EXPERIENCE. IF DONE SENSITIVELY AND INTELLIGENTLY, IT CAN BE VERY CONSTRUCTIVE." (MILLER, P. 105)

"THE KEY TO A SUCCESSFUL PROGRAM IS DYNAMIC COMMUNICATION BETWEEN THE SUPERVISOR AND SUBORDINATE, WHO TOGETHER PLAN FOR AND EVALUATE THE SUBORDINATE'S PERFORMANCE. THE GREATEST BURDEN FOR PROPER PERFORMANCE ALWAYS RESTS WITH THE SUPERVISOR." OLIVER GOLDSMITH CAPSULIZES THIS RESPONSIBILITY: "WE MUST TOUCH HIS WEAKNESS WITH A DELICATE HAND. THERE ARE SOME FAULTS SO NEARLY ALLIED TO EXCELLENCE THAT WE CAN SCARCE WEED OUT THE FAULTS WITHOUT EXTRACTING THE VIRTUE."
(LAHTI, 1978, P. 10)

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